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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application No.	09/843,597	
	Filing Date	April 26, 2001	
	First Named Inventor	Thomas W. Mossberg	
	Group Art Unit		
	Examiner Name		
Total Number of Pages in This Submission	14	Attorney Docket Number	5455P002

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application   <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> To Convert a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Small Entity Statement  <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">Copies of 68 cited references</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Gregory D. Caldwell, Reg. No. 39,926 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	June 6, 2001

CERTIFICATE OF MAILING/TRANSMISSION			
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Attorney Docket No.: 5455P002



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re: Application of:

THOMAS W. MOSSBERG

Application No.: 09/843,597

Filed: April 26, 2001

For: **OPTICAL PROCESSOR**

Art Group:

Examiner:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 CFR § 1.56 and in accordance with 37 C.F.R. § 1.97, enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of the Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

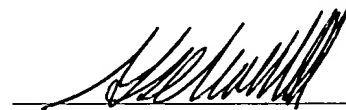
Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any additional fee due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: June 06, 2001



Gregory D. Caldwell, Reg. No. 39,926

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
Telephone: (503) 684-6200

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Angie C. Farr

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Complete if Known</b>	
				Application Number	<b>09/843,597</b>
Sheet <b>i</b> of <b>11</b>				Filing Date	<b>April 26, 2001</b>
				First Named Inventor	<b>Thomas W. Mossberg</b>
				Group Art Unit	
				Examiner Name	
				Attorney Docket Number	<b>005455.P002</b>

U.S. PATENT DOCUMENTS

Exam. Initials	Cite No.	Document Number	Date	Name	Class	Sub-class	Filing Date (if appropriate)
	1	4,140,362	02/20/79	Tien			
	2	4,387,955	06/14/83	Ludman et al.			
	3	4,660,934	04/28/87	Akiba et al.			
	4	4,740,951	04/26/88	Lizet et al.			
	5	4,743,083	05/10/88	Schimpe			
	6	4,746,186	05/24/88	Nicia			
	7	4,773,063	09/20/88	Hunsperger et al.			
	8	4,786,133	11/22/88	Gidon et al.			
	9	4,824,193	04/25/89	Maeda et al.			
	10	4,834,474	05/30/89	George et al.			
	11	4,923,271	05/08/90	Henry et al.			
	12	4,938,553	07/03/90	Maerz et al.			
	13	5,107,359	04/21/92	Ohuchida			
	14	5,195,161	03/16/93	Adar et al.			
	15	5,357,591	10/18/94	Jiang et al.			
	16	5,450,511	09/12/95	Dragone			
	17	5,768,450	06/16/98	Bhagavatula			
	18	5,812,318	09/22/98	Babbitt et al.			
	19	5,830,622	11/03/98	Canning et al.			
	20	6,011,884	01/04/00	Dueck et al.			

FOREIGN PATENT DOCUMENTS

Exam. Initials	Cite No.	Document Number	Date	Country	Class	Sub-class	Translation Yes	No

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet	2	of	11
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**Complete if Known**

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Examiner Name	
Attorney Docket Number	<b>005455.P002</b>

## U.S. PATENT DOCUMENTS

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				Application Number	<b>09/843,597</b>
<b>Sheet</b> <b>3</b> <b>of</b> <b>11</b>				Filing Date	<b>April 26, 2001</b>
				First Named Inventor	<b>Thomas W. Mossberg</b>
				Group Art Unit	
				Examiner Name	
				Attorney Docket Number	<b>005455.P002</b>

OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)

Exam. Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	1	B.A. CAPRON, ET AL., Design and Performance of a Multiple Element Slab Waveguide Spectrograph for Multimode Fiber-Optic WDM Systems., Journal of LightWave Technology, Vol. 11 No. 12., December 1993., IEEE Log No.9211169, Pgs. 2009-2014
	2	R.J. DERI, ET AL., Quantitative Analysis of Integrated Optic Waveguide Spectrometers., IEEE Photonics Technology Letters, Vol. 6, No. 2, February 1994., Pgs.242-244.
	3	A. GRUNNET-JEPSEN, ET AL., Fibre Bragg grating based spectral encoder/decoder for lightwave CDMA. Electronics Letters Vol. 35., No. 13., June 24th, 1999., Pgs. 1096-1097
	4	P.PADDON AND JEFF F. YOUNG, Simple approach to coupling in textured planar waveguides, Optical Society of America 1998, Vol. 23, No. 19. Pgs. 1529-1531.
	5	C.K. MADSEN, ET AL., Planar Waveguide Optical Spectrum Analyzer Using a UV-Induced Grating, IEEE Journal of selected topics in quantum electronics, Vol. 4, No. 6, November 1998, Pgs. 925-929
	6	EMILIO GINI, ET AL., Polarization Independent InP WDM Multiplexer/Demultiplexer Module., Journal of Lightwave Technology, Vol. 16, No. 4., April 1998, Pgs. 625-630.
	7	ROBERT W. DAY, ET AL., Filter-Response Line Shapes of Resonant Waveguide Gratings., Journal of Lightwave Technology. Vol. 14, No. 8, August 1996., Pgs. 1815-1824.
	8	K.A. MCGREER., Tunable Planar Concave Grating Demultiplexer., IEEE Photonics Technology Letters, Vol. 8. No. 4, April 1996., Pgs. 551-553.
	9	SUNING TANG, ET AL., A Novel Wavelength-Division-Demultiplexer with Optical In-Plane to Surface-Normal Conversion., IEEE Photonics Technology Letters, Vol. 7, No. 8, August 1995
	10	K.A. MCGREER., Diffraction from Concave Gratings in Planar Waveguides., IEEE Photonics Technology Letters, Vol. 7. No. 3, March 1995., Pgs. 324-326.
	11	HIROKAZU TAKENOUCI, ET AL., Analysis of optical-signal processing using an arrayed-waveguide grating., Optics Express, Vol. 6, No. 6, March 13, 2000., Pgs. 124-135.
	12	A.GRUNNET-JEPSEN, ET AL., Demonstration of All-Fiber Sparse Lightwave CDMA Based on Temporal Phase Encoding., Photonics Technology Letters, Vol. 11 No. 10, Oct. 1999.

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<b>Sheet</b> <b>4</b> <b>of</b> <b>11</b>				Filing Date	<b>April 26, 2001</b>
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				Attorney Docket Number	<b>005455.P002</b>

OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)

Exam. Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
<del>/</del>	13	RANDALL BABBITT, ET AL., Optical waveform processing and routing with structured surface gratings., Optics Communications 148, 1998., Pgs. 23-26.
<del>/</del>	14	GERALD A. BRIGHAM, ET AL., Analysis of scattering from large planar gratings of compliant cylindrical shells., Acoust Society of America, Vol. 61, No. 1, January 1977. pgs. 48-59.
<del>/</del>	15	T.KUROKAWA, ET AL., Time-space-conversion optical signal processing using arrayed-waveguide grating., Electronics Letters Vol. 33, No. 22, October 23, 1997. Pgs. 1890-1891.
<del>/</del>	16	AASMUND Sv. SUDBO, ET AL., Reflectivity of Integrated Optical Filters Based on Elliptic Bragg Reflectors., Journal of Lightwave Technology Vol. 8, No. 6, June 1990. Pgs. 998-1006.
<del>/</del>	17	CHARLES H. HENRY., Four-Channel Wavelength Division Multiplexers and Bandpass Filters Based on Elliptical Bragg Reflectors., Journal of Lightwave Technology Vol. 8. No. 5, May 1990 IEEE., Pgs. 748-755.
<del>/</del>	18	E.M. KOONTZ, ET AL., Preservation of rectangular-patterned InP gratings overgrown by gas source molecular beam epitaxy., Appl. Phys. Lett Vol. 71, No. 10, September 1997., pgs. 1400-1402.
<del>/</del>	19	SEOK HO SONG, ET AL., Focusing-grating-coupler arrays for uniform and efficient signal distribution in a backboard optical interconnect., Optical Society of America 1995., Applied Optics Vol. 34, No. 26., September 10, 1995., Pgs. 5913-5919.
<del>/</del>	20	JOHN C. BRAZAS, ET AL., Analysis of input-grating couplers having finite lengths., Applied Optics Vol. 34, No. 19., July 1, 1995., Pgs. 3786-3792.
<del>/</del>	21	KEITH A. BATES, ET AL., Gaussian beams from variable groove depth grating couplers in planar waveguides., Applied Optics Vol. 32, No. 12., April 20, 1993., Pgs. 2112-2116.
<del>/</del>	22	S.S. WANG, ET AL., Theory and applications of guided-mode resonance filters., Applied Optics Vol. 32 No. 14., May 10, 1993., Pgs. 2606-2613.
<del>/</del>	23	R. MAGNUSSON, ET AL., New Principle for optical filters., American Insitute of Physics 1992., Appl. Phys. Lett. Vol. 61, No. 9., August 31, 1992., Pgs. 1022-1024.
<del>/</del>	24	S.M. OJHA, ET AL., Demonstration of low loss integrated InGaAsP/InP demultiplexer device with low polarisation sensitivity., Electronics Letter Vol. 29, No. 9., April 29, 1993.

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FD-302 (Rev. 8-83)

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005455.P002

**09/843,597**

**APPLICANT**

**Thomas W. Mossberg**

FILING DATE

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**April 26, 2001**

## INFORMATION DISCLOSURE CITATION

*(Use several sheets if necessary)*

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

**LIFENG LI., Analysis of planar waveguide grating couplers with double surface corrugations of identical period., 1995 Elsevier Science B.V., Optics Communications 114., Pgs. 406-412.**

**J.B.D. SOOLE, ET AL., High speed monolithic WDM detector for 1.5 um fibre band., Electronics Letters Vol. 31., No.15., July 20, 1995., Pgs. 1276-1277.**

**J.T. RANTALA, ET AL., Sol-gel hybrid glass diffractive elements by direct electron-beam exposure., Electronics Letters Vol. 34., No. 5., March 5, 1998., Pgs. 455-456.**

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**09/843,597**

**Thomas W. Mossberg**

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[illegible]

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

	M.A. COWIN, ET AL., Compact polymeric wavelength division multiplexer., Electronics Letters Vol. 35., No. 13., June 24, 1999., Pgs. 1074-1076.
	J. CANNING, ET AL., Grating structures with phase mask period in silica-on-silicon planar waveguides., 1999 Elsevier Science B.V., Optics Communications 171., Pgs. 213-217.
	P.K. TIEN, ET AL., Use of concentric-arc grating as a thin-film spectrograph for guided waves., 1980 American Institute of Physics., Pgs. 524-525.

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DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

	AKIMASA KANEKO, ET AL., Design and Applications of Silica-Based Planar Lightwave Circuits., IEEE Journal of selected topics in quantum electronics Vol. 5., No. 5., September/October 1999., Pgs. 1227-1236.
	Z. J. SUN, ET AL., Demultiplexer with 120 channels and 0.29-nm channel spacing., IEEE Photonics Technology Letters, Vol. 10, No. 1., January 1998., Pgs. 90-92.
	C.K. MADSEN, ET AL., Planar waveguide optical spectrum analyzer using a UV-induced grating., IEEE Journal of selected topics in quantum electronics., Vol.4, No. 6., November/December 1998., Pgs. 925-929.

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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	JVAN A. AVRUTSKY, ET AL., Multiwavelength diffraction and apodization using binary superimposed gratings., IEEE Photonics Technology Letters, Vol. 10, No. 6, June 1998., Pgs. 839-841.
	A.T. ALAVIE, ET AL., A Multiplexed bragg grating fiber laser sensor system., IEEE Photonics Technology Letters, Vol. 5, No. 9, September 1993., Pgs. 1112-1114.
	XIAOLI FU, ET AL., 1x8 supergrating wavelength-division demultiplexer in a silica planar waveguide., 1997 Optical Society of America., Optics Letters Vol. 22, No. 21., Pgs. 1627-1629

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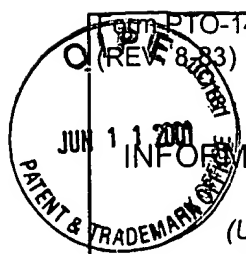
## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	M.R. WANG, ET AL., Five-channel polymer waveguide wavelength division demultiplexer for the near infrared., IEEE Photonics Technology Letters, Vol. 3. No. 1., January 1991., Pgs. 36-38
	MICHAEL R. WANG, ET AL., Wavelength-division multiplexing and demultiplexing on locally sensitized single-mode polymer microstructure waveguides., 1990 Optical Society America, Optics Letters Vol. 15, No. 7., April 1, 1990, Pgs. 363-365.
	CHUNMENG WU, ET AL., Simplified coupled-wave equations for cylindrical waves in circular grating planar waveguides., Journal of Lightwave Technology, Vol. 10, No. 11, November 1992., Pgs. 1575-1589.

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PTO-1449 (REV 8-83)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. <b>005455.P002</b>	SERIAL NO. <b>09/843,597</b>
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		FILING DATE <b>April 26, 2001</b>	GROUP

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/	LOUAY ELDADA, ET AL., Dispersive properties of planar polymer bragg gratings., IEEE Photonics Technology Letters, Vol. 12, No. 7, July 7, 2000., Pgs.819-821.
/	RAY T. CHEN, ET AL., Guided-wave planar optical interconnects using highly multiplexed polymer waveguide holograms., Journal of Lightwave Technology, Vol. 10, No. 7, July 1992., Pgs. 888-897.
/	V. MINIER, ET AL., Diffraction characteristics of superimposed holographic gratings in planar optical waveguides., IEEE Photonics Technology Letters, Vol. 4, No. 10, October 1992

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	JOHAN BACKLUND, ET AL., Multifunctional grating couplers for bidirectional incoupling into planar waveguides., IEEE Photonics Technology Letters, Vol. 12, No. 3, March 2000., Pgs. 314-316.
	D. WIESMANN, ET AL., Apodized surface-corrugated gratings with varying duty cycles., IEEE Photonics Technology Letters, Vol. 12, No. 6, June 6, 2000., Pgs. 639-641.

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.